



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

2817  
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AUG 21 2002  
TECHNOLOGY CENTER 1800

Applicant(s): Yoshimura, *et al.*

Serial No.: 09/767,582

Filed: January 22, 2001

For: SINGLE AND MULTILAYER  
WAVEGUIDES AND  
FABRICATION PROCESS

Group Art Unit: 2817

Attorney Docket: 25916-180 (6136/53718)

**CERTIFICATE OF MAILING/TRANSMISSION**  
(37 C.F.R. § 1.8A)

I hereby certify that this correspondence is, on the date shown below, being:

( X ) deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231.

( ) transmitted by facsimile to the Commissioner for Patents.

August 16, 2002  
Date

  
Linda Henson

**INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 C.F.R. §1.56 AND §§1.97-1.98**

#12  
IDS  
WR  
8/27/02

Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed on the enclosed PTO-1449 Form are submitted under 37 C.F.R. §§1.97 and 1.98, and in compliance with the duty of disclosure as defined in 37 C.F.R. §1.56. The Examiner is requested to make these citations officially of record in the application. This Information Disclosure Statement is being submitted for the above-identified application. Consequently, pursuant to 37 C.F.R. §1.97, no fee or certification is required. However, in the event that the first Office Action was mailed before the mailing of this Statement, the Commissioner is hereby authorized to charge the fee set forth in 37 C.F.R. §1.17(p) to deposit account No. 13-0201 to cover this fee.

INFORMATION DISCLOSURE STATEMENT

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**Copies of the Listed Citations Have Not Been Provided Pursuant to 37 C.F.R. § 1.98(d) Because They Have Been Submitted or Cited in a Parent Case.**

Citations A5 through A9, B6 through B11, and C3 through C5 were made of record in the parent application having Serial No. 09/574,422. Citations A10 and A11 were made of record in the parent application having Serial No. 09/295,813. Accordingly, copies of these references are not attached with this Statement pursuant to 37 C.F.R. §1.98(d). In this regard, M.P.E.P. §609 A(2) states:

“37 C.F.R. §1.98(d) states that a copy of any patent, publication, or other information listed in an information disclosure statement is not required to be provided if it was previously cited by or submitted to the Office in a prior application, provided that the prior application is properly identified in the statement and relied on for an earlier filing date under 35 U.S.C. §120.”

In an earlier part, M.P.E.P. §609 states the Examiner is to review the parent cases for prior art:

“... the Examiner will consider information cited or submitted to the Office in a parent application when examining a continuation or continuation-in-part application (MPEP §2001.06(b) which is not a file wrapper continuing application ...”

Therefore, since this case is not a file-wrapper-continuing case, copies of the listed references which are not provided herewith will be available to the Examiner in the parent cases to be reviewed. (Copies of the parent IDS' and Supplemental IDS' are provided for the Examiner's convenience.)

Copies of Citations A1 through A4, B1 through B5, and C1 and C2 which were not cited in parent applications, are attached with this statement.

This Information Disclosure Statement Under 37 C.F.R. §1.56 is not to be construed as a representation that any of the listed citations establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of any claim in the above-identified application. Additionally, this Information Disclosure Statement is not to be construed as a representation that a further search of the art has been made by Applicants, or that

INFORMATION DISCLOSURE STATEMENT

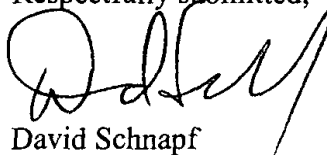
Serial No.: 09/767,582

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additional information relevant to the examination of this application does not exist unbeknownst to Applicants.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'David Schnapf', written over the typed name.

David Schnapf

Registration No. 31,566

August 16, 2002

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FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT(S)' INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.:

25916-180 (6136/53718)

SERIAL NO.:

09/767,582

APPLICANT: Yoshimura, et al.

FILING DATE:

January 22, 2001

TECHNOLOGY CENTER 2800  
GROUP ART UNIT: 2800  
2817RECEIVED  
AUG 21 2002

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	Class	Subclass	Filing Date If Appropriate
STR	A1	4,806,454	2/21/89	Yoshida, et al.	430	321	
STR	A2	5,116,461	5/26/92	Lebby, et al.	156	643	
STR	A3	5,258,236	11/2/93	Arjavalingham, et al.	428	626	
STR	A4	5,334,804	8/2/94	Love, et al.	174	267	
	A5*	5,444,811	8/22/95	Yoshimura, et al.	385	141	
	A6*	5,541,039	7/30/96	McFarland, et al.	430	290	
	A7*	5,054,872	10/8/91	Fan, et al.	385	130	
	A8*	5,835,646	11/10/98	Yoshimura, et al.	385	14	
	A9*	5,854,868	12/29/98	Yoshimura, et al.	385	50	
	A10*	U.S. patent Application Serial No. 09/192,003		Jiang, et al.			11/13/98
	A11*	U.S. patent Application Serial No. 09/203,126		McCormack, et al.			12/01/98

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLAT'N	
							yes	no
STR	B1	JP-6-140502A	5/20/94	Japan				X
STR	B2	JP-6-200974A	7/19/94	Japan				X
STR	B3	JP-6-204922A	7/22/94	Japan				X
STR	B4	JP-7-59240A	3/3/95	Japan				X
STR	B5	JP-7-61092A	3/7/95	Japan				X
	B6*	JP-8-262265-A	10/11/96	Japan				
	B7*	JP-7-077637A	3/20/95	Japan				
	B8*	JP-8-320422A	12/3/96	Japan				
	B9*	JP-9-157352A	4/4/97	Japan				
	B10*	JP-9-0090153A	6/17/97	Japan				
	B11*	0-689 067 A2	20-06-95	Europe				

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).

(Information Disclosure Statement — Section 9 PTO-1449 (Modified) [6-1])



FORM PTO-1449 (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	ATTY. DOCKET NO.: 25916-180 (6136/53718)	SERIAL NO.: 09/767,582
	APPLICANT: <b>Yoshimura, et al.</b>	
	FILING DATE: January 22, 2001	GROUP ART UNIT: 2817 TECHNOLOGY CENTER 2800

OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

C1	Saunders, K.J., "Organic Polymer Chemistry," Chap. 6, Chapman & Hall Ltd., London, 1973.
C2	Lenz, R., "Organic Chemistry of Synthetic High Polymers" John Wiley & Sons, Inc. 1967, Chaps. 9-12.
C3*	Chang, Yablonovitch, et al., "Vapor Phase Epitaxial Liftoff Process of GaAs", Paper H10.1 of Session H10 of the Fall 1997 Materials Research Symposium, Abstract and private manuscript, 1997.
C4*	Yoshimura, <i>et al.</i> , "Optoelectronic Amplifier/Driver-Less Substrate ,OE-ADLES. For Polymer-Waveguide-Based Board Level Interconnection-Calculation Of Delay And Power Dissipation," the 8th Iketani Conference, 4 <sup>th</sup> International Conference On Organic Nonlinear Optics (ICONO'4), October 12, 1998, Chitose, Hokkaido, Japan.
C5*	Norio Murata, "Adhesives for Optical Devices", the 48 <sup>th</sup> conference of the Electronic Components and Technology Conference (ECTC), pages 1178-1185, Seattle, May 25-28, 1998.

\* If an asterisk is placed beside the reference number a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

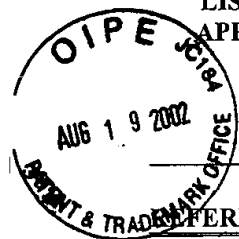
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(Information Disclosure Statement — Section 9 PTO-1449 (Modified) [6-1])

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
6136/54087SERIAL NO.  
09/574,422LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT(S)' INFORMATION DISCLOSURE  
STATEMENTAPPLICANT  
Yoshimura, et al.

(Use several sheets if necessary)

FILING DATE  
May 19, 2000GROUP ART UNIT  
2874

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A1	4,007,978	02-15-77	Holton	350	96	
	A2	4,114,257	09-19-78	Bellavance	29	572	
	A3	4,240,849	12-23-80	Kurokawa, et al.	156	73.2	
	A4	4,609,252	09-02-86	Wong, et al.	350	96.12	
	A5	4,630,883	12-23-86	Taylor, et al.	350	96.15	
	A6	4,749,245	06-07-88	Kawatsuki, et al.	350	96.12	
	A7	4,750,799	06-14-88	Kawachi, et al.	350	96.11	
	A8	4,755,866	07-05-88	Marshall, et al	357	81	
	A9	4,762,381	08-09-88	Uemiya, et al.	350	96.11	
	A10	4,776,661	10-11-88	Handa	350	96.19	
	A11	4,787,691	11-29-88	Lorenzo, et al.	350	96.14	
	A12	4,871,224	10-03-89	Karstensen, et al.	350	96.15	
	A13	5,009,476	04-23-91	Reid, et al.	359	96.11	
	A14	5,054,870	10-08-91	Losch, et al.	385	14	

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
	B1	0 617 314 A1	10-09-93	Europe	G02F	1/313	Yes	
	B2	0 689 067 A2	20-06-95	Europe	G02B	6/10	Yes	

## OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

C1	"Lighting the Way in Computer Design," CIRCUITS & DEVICES, January 1998, © 1998 IEEE, pp. 23-30.
C2	

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Yoshimura, et al.FILING DATE  
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A15	5,054,872	10-08-91	Fan, et al.	385	130	
	A16	5,059,475	10-22-91	Sun, et al.	428	195	
	A17	5,061,028	10-29-91	Khanarian, et al.	385	132	
	A18	5,104,771	04-14-92	Murray, et al.	430	290	
	A19	5,159,700	10-27-92	Reid, deceased et al.	385	14	
	A20	5,170,448	12-08-92	Ackley, et al.	385	31	
	A21	5,179,601	01-12-93	Gotoh, et al.	385	14	
	A22	5,192,716	03-09-93	Jacobs	437	209	
	A23	5,194,548	03-16-93	Yoshimura	526	285	
	A24	5,208,879	05-04-93	Gallo, et al	385	14	
	A25	5,208,892	05-04-93	Burack, et al.	385	129	
	A26	5,219,710	06-15-93	Horn, et al.	430	270	
	A27	5,219,787	06-15-93	Carey, et al.	437	187	
	A28	5,237,434	08-17-93	Feldman, et al.	359	19	
	A29	5,247,593	09-21-93	Lin, et al.	385	17	
	A30	5,249,245	09-28-93	Lebby, et al.	385	89	
	A31	5,263,111	11-16-93	Nurse, et al.	385	130	

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLAT'N	
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A32	5,268,973	12-07-93	Jenevein	385	74	
	A33	5,317,657	05-31-94	Gallo, et al.	385	14	
	A34	5,332,690	07-26-94	Cho, et al.	437	126	
	A35	5,352,566	10-04-94	Springer, et al.	430	321	
	A36	5,358,896	10-25-94	Komatsu, et al.	437	89	
	A37	5,371,818	12-06-94	Presby	385	49	
	A38	5,375,184	12-20-94	Sullivan	385	129	
	A39	5,394,490	02-28-95	Kato, et al.	385	14	
	A40	5,416,861	05-16-95	Koh, et al.	385	14	
	A41	5,428,698	06-27-95	Jenkins, et al.	385	27	
	A42	5,444,811	08-22-95	Yoshimura, et al.	385	141	
	A43	5,465,860	11-14-95	Fujimoto, et al.	216	24	
	A44	5,469,518	11-21-95	Song, et al.	385	89	
	A45	5,488,682	01-30-96	Sauter, et al.	385	53	
	A46	5,500,540	03-19-96	Jewell, et al.	257	82	
	A47	5,513,021	04-30-96	Kaneshiro, et al.	359	15	

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLAT'N	
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EXAM'R INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	Subclass	Filing Date If Appropriate
	A48	5,513,283	04-03-96	Whang, et al.	385	8	
	A49	5,521,992	05-28-96	Chun, et al.	385	14	
	A50	5,525,190	06-11-96	Wojnarowski, et al.	358	133	
	A51	5,541,039	07-30-96	McFarland, et al.	430	290	
	A52	5,546,480	08-13-96	Leonard	385	3	
	A53	5,555,326	09-10-96	Hwang, et al.	385	2	
	A54	5,561,733	10-01-96	Ermer, et al.	385	143	
	A55	5,562,838	10-08-96	Wojnarowski, et al.	216	24	
	A56	5,568,574	10-22-96	Tanguay, Jr., et al.	385	14	
	A57	5,581,646	12-03-96	Tsukatmoto, et al.	385	96	
	A58	5,611,008	03-11-97	Yap	385	14	
	A59	5,652,811	07-29-97	Cook, et al.	385	14	
	A60	5,621,837	04-15-97	Yamada, et al.	385	88	
	A61	5,638,469	06-10-97	Feldman, et al.	385	14	
	A62	5,659,648	08-19-97	Knapp, et al.	385	129	
	A63	5,708,178	01-13-98	Ermer, et al.	546	276.7	

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLAT'N	
							yes	no

## OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)


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	A64	5,723,176	03-03-98	Keyworth, et al.	427	163.2	
	A65	5,751,867	05-12-98	Schaffner, et al.	385	3	
	A66	5,757,989	05-26-98	Yoshimura, et al.	358	14	
	A67	5,761,350	06-02-98	Koh	385	14	
	A68	5,764,820	06-09-98	De Dobbelaere, et al.	385	14	
	A69	5,770,466	06-23-98	Sasaki, et al.	437	89	
	A70	5,770,851	06-23-98	Park, et al.	250	208.1	
	A71	5,796,883	08-18-98	Hamamoto, et al.	358	14	
	A72	5,817,541	10-06-98	Averkiou, et al.	438	107	
	A73	5,459,232	10-17-95	Sotoyama, et al.	528	353	
	A74	5,594,093	01-14-97	Sotoyama, et al.	528	353	
	A75	5,658,966	08-19-97	Tsukamoto, et al.	522	99	
	A76	5,818,983	10-06-98	Yoshimura, et al.	385	14	
	A77	5,835,646	11-10-98	Yoshimura, et al.	385	14	
	A78	5,854,868	12-29-98	Yoshimura, et al.	385	50	
	A79	5,902,715	05-11-99	Tsukamoto, et al.	430	290	
	A80	5,917,980	06-29-99	Yoshimura, et al.	385	129	

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EXAMINER

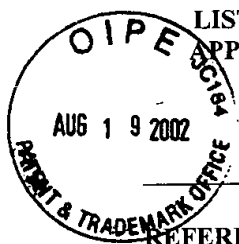
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	A81	3,872,236	03/18/75	Swengel, Sr., et al.	174	251	
	A82	4,969,712	11/13/90	Westwood, et al.	385	14	
	A83	5,220,628	06/15/93	Delbare, et al.	385	14	
	A84	5,801,439	09/01/98	Fujisawa, et al.	257	686	
	A85	6,017,681	01/25/00	Tsukamoto, et al.	430	321	
	A86	6,054,761	04/25/00	McCormack, et al.	257	698	
	A87	6,163,957	12/26/00	Jiang, et al.	29	852	

## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
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	B3	JP 7-077637A	3/20/95	Japan			Yes -	Abstract
	B4	JP-8-007626A	1/12/96	Japan			Yes -	Abstract
	B5	JP-8-008389A	1/12/96	Japan			Yes -	Abstract
	B6	JP-8-065251A	3/8/96	Japan			Yes -	Abstract
	B7	JP-8-069024A	3/12/96	Japan			Yes -	Abstract
	B8	JP-8-253758A	10/1/96	Japan			Yes -	Abstract

## OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

C2	G. D. Boyd, et al., "Directional Reactive Ion Etching at Oblique Angles," Applied Physics Letters vol. 36, no. 7, pages 583-585, April 1, 1980.
C3	Chang, Yablonovitch, et al., "Vapor Phase Epitaxial Liftoff Process of GaAs", Paper H10.1 of Session H10 of the Fall 1997 Materials Research Symposium, Abstract and private manuscript, 1997.

EXAMINER

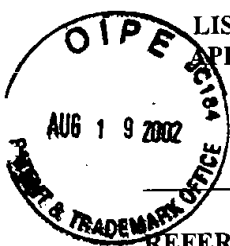
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## FOREIGN PATENT DOCUMENTS

EXAM'R INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	Subclass	TRANSLATN	
							yes	no
	B9	JP-8-262246A	10/11/96	Japan			Yes -	Abstract
	B10	JP-8-262265A	10/11/96	Japan			Yes -	Abstract
	B11	JP-8-320422A	12/03/96	Japan			Yes -	Abstract
	B12	JP-9-157352A	04/04/97	Japan			Yes -	Abstract
	B13	JP-9-0090153A	06/17/97	Japan			Yes -	Abstract

## OTHER ART (Include Author, Title, Date, Pertinent Pages, Etc.)

	C4	Norio Murata, "Adhesives for Optical Devices", the 48 <sup>th</sup> conference of the Electronic Components and Technology Conference (ECTC), pages 1178-1185, Seattle, May 25-28, 1998.
	C5	Jianhua Gan, et al., "Integration of 45-degree Micro-couplers in Guided-wave Optical Clock Distribution System for Supercomputer," 1998 International Symposium on Microelectronics, San Diego, USA, November 1, 1998, pages 359-363.
	C6	Yoshimura, et al., "Optoelectronic Amplifier/Driver-Less Substrate, OE-ADLES. For Polymer-Waveguide-Based Board Level Interconnection-Calculation Of Delay And Power Dissipation," the 8th Iketani Conference, 4 <sup>th</sup> International Conference On Organic Nonlinear Optics (ICONO'4), October 12, 1998, Chitose, Hokkaido, Japan.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant(s).